

<b>Interview Summary</b>	Application No. 09/923,440	Applicant(s) MATSUNAGA, HIDEKI	
	Examiner Anh Ly	Art Unit 2162	

All participants (applicant, applicant's representative, PTO personnel):

- (1) Anh Ly. (3) \_\_\_\_\_  
 (2) Jesse Collier. (4) \_\_\_\_\_

Date of Interview: THU. 04/06/2006.

Type: a) ☐ Telephonic b) ☐ Video Conference  
 c) ☒ Personal [copy given to: 1) ☐ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☐ No.  
 If Yes, brief description: \_\_\_\_\_

Claim(s) discussed: 1-18.

Identification of prior art discussed: USPT: 6,839,843 & 5,926,824.

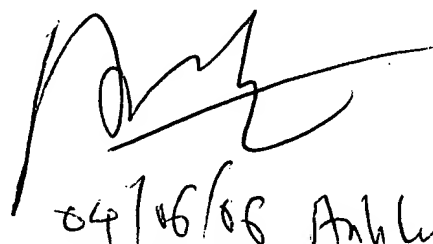
Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Applicant representative discribed the invention and claims. Examiner makes suggestion to clarify the 'retrieval condition" and "identifier" and combine the limitations of claims 2 & 3 into claims 1 and 10 in order to be in good condition for allowable.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

  
04/06/06 Anh Ly  
 Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

#### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

**Applicant Initiated Interview Request Form -- faxed to: 571.273.4039 (4 pp.)**

In re the Application of

Hideki MATSUNAGA

Group Art Unit: 2172

Application No.: 09/923,440

Examiner: A. Ly

Filed: August 8, 2001

Docket No.: 110331

For: OBJECT MANAGEMENT METHOD AND SYSTEM

**Tentative Participants:**

(1) Jesse Collier

(2) A. Ly

(3)

(4)

Requested Date of Interview: 3/22-3/29

Proposed Time: ANY (AM/PM)

**Type of Interview Requested:**(1) ☐ Telephonic(2) ☒ Personal(3) ☐ Video ConferenceExhibit To Be Shown or Demonstrated: ☒ YES☐ NO

If yes, provide brief description: Proposed Amendment (copy attached)

**Issues To Be Discussed**

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) §103(a)	1-18	Bacha & Hashimoto	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Continuation Sheet Attached**Brief Description of Arguments to be Presented:**

1) Basha fails to disclose, teach, or suggest at least "defining a retrieval condition for retrieving an object, the retrieval condition being defined based on at least one attribute of the object" and "setting an access right in association with the retrieval condition," as recited in claim 1; and "access control means for managing a retrieval condition for retrieving an object, an identifier set for identifying the object, and an access right that has been set in association with the retrieval condition, thereby controlling access to the object, the retrieval condition being defined based on at least one attribute of the object" and "retrieval means for retrieving an object stored in the object storing means on the basis of the retrieval condition and the identifier," as recited in claim 10.

Hashimoto fails to make up for the above deficiencies of Basah. For example, Hashimoto only discloses locating documents based on a retrieval condition (1203) such as document name, document creation date, document creator, document keyword, and the like. Hashimoto does not in any way disclose, teach, or suggest, controlling access to a document based on the retrieval condition.

An interview was conducted on the above-identified application on \_\_\_\_\_

**NOTE:**

This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of substance of this interview (37 CFR 1.133(b)) as soon as possible.

\_\_\_\_\_  
(Applicant/Applicant's Representative Signature)\_\_\_\_\_  
(Examiner/SPE Signature)

**PROPOSED**

1. (Previously Presented) An object management method for performing access control for a stored object, the method comprising the steps of:
  - defining a retrieval condition for retrieving an object, the retrieval condition being defined based on at least one attribute of the object;
  - setting an access right in association with the retrieval condition;
  - setting an identifier for identifying the object; and
  - performing access control for the object matching the retrieval condition and the identifier on the basis of the access right.
2. (Previously Presented) The object management method according to claim 1, wherein the step of performing access control further comprises the steps of:
  - performing a check, when a request for access to an object occurs, to see whether the object meets the retrieval condition; and
  - controlling access to the access-requested object on the basis of the access right that has been set in association with the retrieval condition.
3. (Previously Presented) The object management method according to claim 1, wherein the step of performing access control further comprises the steps of:
  - performing a check, when a request for access to an object occurs, to see whether the identifier of the object has been set in association with the retrieval condition; and
  - controlling access to the access-requested object on the basis of the access right that has been set in association with the retrieval condition if a result of the check indicates that the identifier of the access-requested object has been set in association with the retrieval condition.
4. (Original) The object management method according to claim 3, wherein the association between the retrieval condition and the identifier is changed according to need when addition, modification, or deletion of the object identified by the identifier is made.
5. (Original) The object management method according to claim 2, further comprising the step of:
  - performing access control, if the access-requested object matches a plurality of retrieval conditions, on the basis of OR of the matched retrieval conditions.

**PROPOSED**

6. (Original) The object management method according to claim 2, further comprising the step of:

performing access control, if the access-requested object matches a plurality of retrieval conditions, on the basis of AND of the matched retrieval conditions.

7. (Original) The object management method according to claim 1, wherein the object is stored with attribute data, and the retrieval condition aims to retrieve the object on the basis of the attribute data.

8. (Original) The object management method according to claim 1, wherein the object is stored with attribute data and a method for referring to an entity of the object, and the retrieval condition aims to retrieve the object on the basis of the attribute data and the entity of the object referred to by the method.

9. (Original) The object management method according to claim 1, wherein the access right is a specification about a user and an access type allowed to access the object.

10. (Currently Amended) An object management system performing access control for an object stored in object storing means, the system comprising:

access control means for managing a retrieval condition for retrieving an object, an identifier set for identifying the object, and an access right that has been set in association with the retrieval condition, thereby controlling access to the object, the retrieval condition being defined based on at least one attribute of the object; and

retrieval means for retrieving an object stored in the object storing means on the basis of the retrieval condition and the identifier,

wherein the access control means performs access control for an object matching the retrieval condition and the identifier on the basis of a retrieval result by the retrieval means.

11. (Original) The object management system according to claim 10, wherein the retrieval means performs a check, when a request for access to an object occurs, to see whether the object matches the retrieval condition, and the access control means controls access to the access-requested object based on the access right that has been set in association with the retrieval condition if a retrieval result by the retrieval means indicates that the access-requested object matches the retrieval condition.

**PROPOSED**

12. (Previously Presented) The object management system according to claim 10, wherein the access control means controls, when a request for access to an object occurs and if the identifier of the object has been set in association with the retrieval condition, access to the access-requested object on the basis of the access right that has been set in association with the retrieval condition.

13. (Original) The object management system according to claim 12, wherein the retrieval means retrieves an object stored in the object storing means when addition, modification, or deletion of the object is made, and the access control means changes the association between the retrieval condition and the identifier in accordance with a retrieval result by the retrieval means.

14. (Original) The object management system according to claim 10, wherein the access control means performs access control, if an access-requested object matches a plurality of retrieval conditions, on the basis of OR of the matched retrieval conditions.

15. (Original) The object management system according to claim 10, wherein the access control means performs access control, if an access-requested object matches a plurality of retrieval conditions, on the basis of AND of the matched retrieval conditions.

16. (Original) The object management system according to claim 10, wherein the object storing means stores an object with attribute data of the object, and the retrieval means retrieves the object on the basis of the attribute data.

17. (Original) The object management system according to claim 10, wherein the object storing means stores an object with attribute data and a method for referring to an entity of the object, and the retrieval means retrieves the object on the basis of the attribute data and the entity of the object referred to by the method.

18. (Original) The object management system according to claim 10, wherein the access control means manages the access right as a specification of a user and an access type allowed to access the object.